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<div style="float: left; border: 1px solid black; border-radius: 50%; padding: 10px; text-align: center; width: 150px;"> <b>O I P E</b>  <b>JAN 07 2002</b>  <b>PTO</b> </div> <div style="float: right; text-align: right;"> <b>#10 CPA</b>  <b>2/4/02</b>  <b>amr</b> </div> <div style="clear: both;"></div> <h2 style="text-align: center; margin: 0;">CONTINUED PROSECUTION APPLICATION (CPA)</h2> <h3 style="text-align: center; margin: 0;">REQUEST TRANSMITTAL</h3> <p style="text-align: center; font-size: small;">Submit an original, and a duplicate for fee processing.</p> <p style="text-align: center; font-size: x-small;">(Only for Continuation or Divisional applications under 37 CFR 1.53(d))</p>		<input type="checkbox"/> CHECK BOX, if applicable: <b>DUPLICATE</b>										
Address for Transmittal  <b>Box CPA</b> <b>Commissioner for Patents</b> <b>Washington, DC 20231</b>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;"><b>Attorney Docket No. of Prior Application</b></td> <td><b>M4065.0321/P321-A</b></td> </tr> <tr> <td><b>First Named Inventor</b></td> <td><b>Pai-hung Pan</b></td> </tr> <tr> <td><b>Examiner Name</b></td> <td><b>C. Nguyen</b></td> </tr> <tr> <td><b>Group Art Unit</b></td> <td><b>2811</b></td> </tr> <tr> <td><b>Express Mail Label No.</b></td> <td></td> </tr> </table>		<b>Attorney Docket No. of Prior Application</b>	<b>M4065.0321/P321-A</b>	<b>First Named Inventor</b>	<b>Pai-hung Pan</b>	<b>Examiner Name</b>	<b>C. Nguyen</b>	<b>Group Art Unit</b>	<b>2811</b>	<b>Express Mail Label No.</b>	
<b>Attorney Docket No. of Prior Application</b>	<b>M4065.0321/P321-A</b>											
<b>First Named Inventor</b>	<b>Pai-hung Pan</b>											
<b>Examiner Name</b>	<b>C. Nguyen</b>											
<b>Group Art Unit</b>	<b>2811</b>											
<b>Express Mail Label No.</b>												

This is a request for a ☒ continuation or ☐ divisional application under 37 CFR 1.53(d), (continued prosecution application (CPA)) of prior application number 09/577,835 filed on May 25, 2000, entitled

PASSIVATION OF SIDEWALLS OF A WORD LINE STACK

**NOTES**

**FILING QUALIFICATIONS:** The prior application identified above must be a nonprovisional application that is either: (1) complete as defined by 37 CFR 1.51 (b), or (2) the national stage of an international application in compliance with 35 U.S.C. 371. Effective May 29, 2000, a CPA may only be filed in a utility or a plant application if the prior nonprovisional application was filed before May 29, 2000. A CPA may be filed in a design application regardless of the filing date of the prior application. See "Request for Continued Examination Practice changes to and Provisional Application Practice," Final Rule, 65 Fed. Reg. 50092 (Aug. 16, 2000); Interim Rule, 65 Fed. Reg. 14865 (Mar. 20, 2000), 1233 Off. Gaz. Pat. Office (Apr. 11, 2000).

**C-I-P NOT PERMITTED:** A continuation-in-part application cannot be filed as a CPA under 37 CFR 1.53 (d), but must be filed under 37 CFR 1.53(b).

**EXPRESS ABANDONMENT OF PRIOR APPLICATION:** The filing of this CPA is a request to expressly abandon the prior application as of the filing date of the request for a CPA. 37 CFR 1.53(b) must be used to file a continuation, divisional, or continuation-in-part of an application that is not to be abandoned.

**ACCESS TO PRIOR APPLICATION:** The filing of this CPA will be construed to include a waiver of confidentiality by the applicant under 35 U.S.C. 122 to the extent that any member of the public who is entitled under the provisions of 37 CFR 1.14 to access to, copies of, or information concerning, the prior application may be given similar access to, copies of, or similar information concerning, the other application or applications in the file jacket.

**35 U.S.C. 120 STATEMENT:** In a CPA, no reference to the prior application is needed in the first sentence of the specification and none should be submitted. If a sentence referencing the prior application is submitted, it will not be entered. A request for a CPA is the specific reference required by 35 U.S.C. 120 and to every application assigned the application number identified in such request, 37 CFR 1.78(a).

1. ☒ Enter the unentered amendment previously filed on December 13, 2001 under 37 CFR 1.116 in the prior nonprovisional application.

2. ☐ A preliminary amendment is enclosed.

3. ☐ This application is filed by fewer than all the inventors named in the prior application, 37 CFR 1.53(d)(4).  
 a. ☐ DELETE the following inventor(s) named in the prior nonprovisional application:  
 -----  
 b. ☐ The inventor(s) to be deleted are set forth on a separate sheet attached hereto.

4. ☐ A new power of attorney or authorization of agent (PTO/SB/81) is enclosed.

5. Information Disclosure Statement (IDS) is enclosed:  
 a. ☐ PTO-1449  
 b. ☐ Copies of IDS Citations

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CLAIM	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
	TOTAL CLAIMS (37 CFR 1.16(c) or (j))	6 - 20*	=	x \$	= \$ 0.00
	INDEPENDENT CLAIMS (37 CFR 1.16(b) or (i))	1 - 3**	=	x \$	= 0.00
	MULTIPLE DEPENDENT CLAIMS (if applicable) 37 CFR 1.16(d))			+ \$	=
				BASIC FEE (37 CFR 1.16)	740.00
				Total of above Calculations =	740.00
	Reduction by 50% for filing by small entity (Note 37 CFR 1.27).				
	* Reissue claims in excess of 20 and over original patent. ** Reissue independent claims over original patent.				TOTAL = \$ 740.00

6. ☐ Small entity status: Applicant claims small entity status. See 37 CFR 1.27.7. The Commissioner is hereby authorized to credit overpayments or charge the following fees to  
Deposit Account No. 04-1073 :a. ☐ Fees required under 37 CFR 1.16.b. ☒ Fees required under 37 CFR 1.17.c. ☐ Fees required under 37 CFR 1.18.8. ☒ A check in the amount of \$ 740.00 is enclosed.9. ☐ Payment by credit card. Form PTO-2038 is attached.10. ☐ Applicant requests suspension of action under 37 CFR 1.103(b) for a period of \_\_\_\_\_ months  
(not to exceed 3 months) and the fee under 37 CFR 1.17(i) is enclosed.11. ☐ New Attorney Docket Number, if desired \_\_\_\_\_[Prior application Attorney Docket Number will carryover to this CPA unless a new Attorney Docket Number has been provided herein.]12. a. ☐ Receipt For Facsimile Transmitted CPA (PTO/SB/29A)b. ☐ Return Receipt Postcard (Should be specifically itemized, See MPEP 503)13. ☐ Other: December 13, 2001**NOTE:** The prior application's correspondence address will carry over to this CPA UNLESS  
a new correspondence address is provided below.

## 14. NEW CORRESPONDENCE ADDRESS

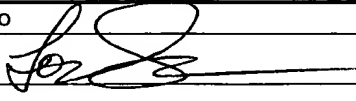
☐ Customer Number or Bar Code Label

or

☐ New correspondence address below

Name	Thomas J. D'Amico Dickstein Shapiro Morin & Oshinsky LLP				
Address	2101 L Street, NW				
City	Washington	State	DC	Zip Code	20037
Country	U.S.	Telephone	202-828-2232	Fax	202-887-0689

## 15. SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

Name (Print/Type)	Thomas J. D'Amico
Signature	
Registration No. (Attorney/Agent)	28,371
Date	January 7, 2002

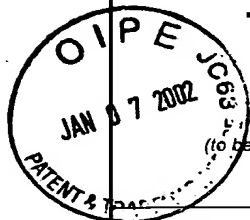
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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

CPA 2811



# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

<b>Application Number</b>	09/577,835	
	<b>Filing Date</b>	May 25, 2000
	<b>First Named Inventor</b>	Pai-hung Pan
	<b>Group Art Unit</b>	2811
	<b>Examiner Name</b>	C. Nguyen
<b>Attorney Docket Number</b>	M4065.0321/P321-A	
<b>Total Number of Pages in This Submission</b> <span style="float: right;">✓</span>		

## ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input checked="" type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below) <b>CPA Request</b>
<b>Remarks</b>		

RECEIVED  
JAN 10 2002  
TR 2800 MAIL ROOM

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

<b>Firm or Individual Name</b>	DICKSTEIN SHAPIRO MORIN & OSHINSKY LLP Thomas J. D'Amico
<b>Signature</b>	
<b>Date</b>	January 7, 2002

# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

## Complete if Known

Application Number	09/577,835
Filing Date	May 25, 2000
First Named Inventor	Pai-hung Pan
Examiner Name	C. Nguyen
Group Art Unit	2811
Attorney Docket No.	M4065.0321/P321-A

TOTAL AMOUNT OF PAYMENT (\$ ) 850.00

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **04-1073**

Deposit Account Name

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 ☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed

☒ Check ☐ Credit Card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$ ) 0.00

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
6	-20** =	<input type="checkbox"/> X <input type="checkbox"/>	0.00
1	-3** =	<input type="checkbox"/> X <input type="checkbox"/>	0.00
Multiple Dependent		<input type="checkbox"/>	

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ ) 0.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

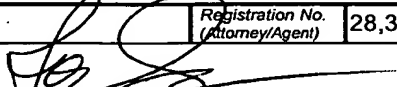
### 3. ADDITIONAL FEES

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	110.00
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))	
149	740	249	370	For each additional invention to be examined (37CFR 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify)	131			Basic Filing fee - Utility (CPA)	740.00

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 850.00

## SUBMITTED BY

Name (print/type)	Thomas J. D'Amico	Registration No. (Attorney/Agent)	28,371	Telephone	(202) 828-2232
Signature		Date	January 7, 2002		